

Express Mail No. EV322527239US Attorney Docket No. NYMX0001 Client/Matter No. 99786.0008

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Bruce M. Horton, et al.

Serial No. 10/699,314

Filed: October 31, 2003

For: SYSTEM AND METHOD FOR SETTLING TRANSACTIONS ON AN ERODING BASIS

Group Art Unit: Not Yet Assigned

Examiner: Not Yet Assigned

Confirmation No.: Not Yet Assigned

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Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

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- 2. Form PTO/SB/08A, with copies of 3 references;
- 3. Certificate of Mailing; and
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relating to the above application, were deposited as "Express Mail" Mailing Label No. EV322527239US with the United States Postal Service, addressed to Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on 12/30/03

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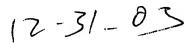
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## INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. 1.97

Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

Sir:

Applicant hereby submits for filing under 37 CFR 1.97 a disclosure statement. In submitting these references, no representation is made or implied that the references are or are not material to the examination of this application. The publications or other information of which Applicant is presently aware are listed in Form PTO/SB/08A submitted herewith and copies of all such publications are attached hereto.

No fee is believed due for this submittal. However, any fee deficiency associated with this submittal may be charged to Deposit Account No. 50-1123.

Respectfully submitted.

Stuart T. Langley, Reg. No. 33,940

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Substitute for form 1449A/PTO				Application Number	10/699,314
				Filing Date	10/31/2003
INFORMATION DISCLOSURE STATEMENT BY APPLICANT  (Use as many sheets as necessay)				First Named Inventor	Bruce M. Horton
				Art Unit	Not Yet Assigned
				Examiner Name	Not Yet Assigned
Sheet	1	of	1	Attorney Docket No.	NYMX0001

-	NON PATENT LITERATURE DOCUMENTS				
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s) publisher, city and/or country where published	T²		
	1	NEW YORK MERCANTILE EXCHANGE, "Exchange Announces Launch Plans for Monthly, Weekly, and Daily Electricity Futures Contracts," March 6, 2003, pp. 1-9, p. 18.			
	2	"Proposed NYMEX PJM Calendar-Month Daily-LMP Swap (PJM Interconnection, LLC) Contract, pp. 9-14			
	3	S. STOFT, et al., "Primer on Electricity Futures and Other Derivatives," January 1998, pp. i-xvi, 1-41			
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<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached. This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) and application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.